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EXAMINER
FABER, DAVID

ART UNIT	PAPER NUMBER
2178	

SHORTENED STATUTORY PERIOD OF RESPONSE	MAIL DATE	DELIVERY MODE
3 MONTHS	02/07/2007	PAPER

Please find below and/or attached an Office communication concerning this application or proceeding.

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

	Application No.	Applicant(s)
Office Action Summary	10/814,522	HAILEY ET AL.
	Examiner	Art Unit	
	David Faber	2178	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE **3** MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.
- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

1)☐ Responsive to communication(s) filed on *12 December 2006*.

2a)☒ This action is **FINAL**.   2b)☐ This action is non-final.

3)☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

4)☒ Claim(s) *1-45* is/are pending in the application.

    4a) Of the above claim(s) *19-45* is/are withdrawn from consideration.

5)☐ Claim(s) _____ is/are allowed.

6)☒ Claim(s) *1-18* is/are rejected.

7)☐ Claim(s) _____ is/are objected to.

8)☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

9)☐ The specification is objected to by the Examiner.

10)☒ The drawing(s) filed on *23 October 2006* is/are: a)☐ accepted or b)☒ objected to by the Examiner.

    Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).

    Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).

11)☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

12)☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).

    a)☐ All   b)☐ Some *   c)☐ None of:

      1.☐ Certified copies of the priority documents have been received.

      2.☐ Certified copies of the priority documents have been received in Application No. _____ .

      3.☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

    * See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

1)☐ Notice of References Cited (PTO-892)

2)☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)

3)☒ Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ .

4)☐ Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ .

5)☐ Notice of Informal Patent Application

6)☐ Other: _____ .

DETAILED ACTION

1.   This office action is in response to the Restriction/Election Requirement filed on

12 December 2006 and the amendment filed on 23 October 2006.

2.   Applicant has elected Group I containing Claims 1-18 without traverse. Claims

19-45 have been withdrawn.

3.   Claims 1, 3-5, 10, and 16-17 have been amended.

4.   The rejections of Claims 19-45, has been withdrawn necessitated by the election

of the examination of the claims in Group I with respect to the restriction/election

requirement.

5.   Claims 1-18 are pending. Claim 1 is an independent claim.

Information Disclosure Statement

6.   The information disclosure statement (IDS) submitted on 6 June 2006 is in

compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure

statement is being considered by the examiner.

7.   The information disclosure statement filed 12 June 2006 fails to comply with the

provisions of 37 CFR 1.97, 1.98 and MPEP § 609 because the reference listed does not

disclose its pertinent pages of the document. It has been placed in the application file,

but the information referred to therein has not been considered as to the merits.

Applicant is advised that the date of any re-submission of any item of information

contained in this information disclosure statement or the submission of any missing

element(s) will be the date of submission for purposes of determining compliance with

the requirements based on the time of filing the statement, including all certification

requirements for statements under 37 CFR 1.97(e). See MPEP § 609.05(a).

Drawings

8.   The drawings are objected to as failing to comply with 37 CFR 1.84(p)(5)

because they include the following reference character(s) not mentioned in the

description: 67 and 68 of FIG 22. Corrected drawing sheets in compliance with 37 CFR

1.121(d), or amendment to the specification to add the reference character(s) in the

description in compliance with 37 CFR 1.121(b) are required in reply to the Office action

to avoid abandonment of the application. Any amended replacement drawing sheet

should include all of the figures appearing on the immediate prior version of the sheet,

even if only one figure is being amended. Each drawing sheet submitted after the filing

date of an application must be labeled in the top margin as either "Replacement Sheet"

or "New Sheet" pursuant to 37 CFR 1.121(d). If the changes are not accepted by the

examiner, the applicant will be notified and informed of any required corrective action in

the next Office action. The objection to the drawings will not be held in abeyance.

Claim Rejections - 35 USC § 103

9.   The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all

obviousness rejections set forth in this Office action:

> (a) A patent may not be obtained though the invention is not identically disclosed or described as set
> forth in section 102 of this title, if the differences between the subject matter sought to be patented and
> the prior art are such that the subject matter as a whole would have been obvious at the time the
> invention was made to a person having ordinary skill in the art to which said subject matter pertains.
> Patentability shall not be negatived by the manner in which the invention was made.

10.   Claims 1-9, 13-18 remain rejected under 35 U.S.C. 103(a) as being unpatentable

over Poole et al (US Patent #6,006,242, patented 12/21/1999) in further view of Bantz

et al (US PGPub 2003/0163809, published 8/28/2003)

        As per independent Claim 1, Poole et al discloses a system:

*   An assembly facility (FIG 1, 3 & 4: disclose document creation by assembling

    components) to apply precedence (Column 5, lines 44-61; Column 6, lines

    55-63: A precedence is in place when one or more matches occur) and rules

    to document content (Col 5, lines 3-24; Col 7, lines 28-60: content is specified

    that must follow rules linked to business or governmental regulations) and to

    configured to be coupled to an origination platform (Column 5, lines 1-24:

    content is specified or inputted to be included into the document originated

    from collecting transaction data (Column 29, lines 48-49, STEP 1)

*   A knowledge base configured to be coupled to the assembly facility (FIG 3,

    lines 29-48)

*   A content management system configured to be coupled to the knowledge

    base and to support authoring of document content and rules (Poole et al

    discloses a system spread out over three layers that stores rules, (Column 6,

    line 34: rules that dictate the access and utilization of components that

    included in the document) documents and components in the knowledge

    base.(Column 6, lines 17-28) These rules are used by many applications to

    govern the document generation that include ability to create documents, and

using rules for formatting and validating. (e.g. Col 7, lines 28-60; Column 9-

Column 13, line 2)

However, Poole et al discloses his invention is described within the context of an

object-oriented programming implementation and that knowledge base acts as a

database storing information (Column 6, lines 10-28), but fails to specify the knowledge

base to store objects (content) in an object-relational hierarchy. However, Bantz et al

discloses the knowledge base is organized as a database that includes being object-

relational for storing data objects. (Paragraph 0039, lines 8-10)

It would have been obvious to one of ordinary skill in the art at the time of

Applicant's invention to have combined Poole et al's method with Bantz et al's method

since Bantz et al's method using database as object-relational would have allowed

developers to integrate the database with their own custom data types and methods.

As per dependent Claim 2, Poole et al discloses a system:

- Wherein the assembly facility is configured to validate data received from the

  origination platform (Column 29, lines 47-48 discloses data being collected.

  Column 5, lines 3-5, discloses the develop specifies content to be included in

  the document to meet the rules and regulations. Thus, the data is validated at

  step 36, FIG 1 wherein all business, legal, and government requirements

  applicate to a particular entity reference are duly satisfied which produces

  components having integrity by virtue of being complaint with requirements

  (rules), Column 5, 15-24)

As per dependent Claim 3, Poole et al discloses a system:

- Wherein the assembly facility is configured to receive transaction information

  from the origination platform. (document creation originated from collecting

  transaction data (Column 29, lines 48-49, STEP 1) wherein transaction data

  is supplied, and then is used for generating documents that includes resolving

  document entitles described in Column 5, lines 14-24, Col 29, lines 47-64,

  and for transformations described in Column 17, lines 45-64)

As per dependent Claim 4, Poole et al discloses a system:

- Wherein the transaction information includes an identifier of an entity

  requesting at least one document (Column 5, lines 1-24: content is specified

  or inputted to be included into the document originated from collecting

  transaction data (Column 29, lines 48-49, STEP 1) Column 7, lines 28-60

  discloses when the transaction data is supplied, entities are resolved wherein

  documents are retrieved to be incorporated into creating a final document.)

As per dependent Claim 5, Poole et al discloses a system comprising:

- Wherein the assembly facility is configured to apply precedence to the

  document content by selecting document content based on the transaction

  information (Document content is provided to meet the objects of the parties

  to a transaction, thus selecting document content is based on transaction

information (Column 5, lines 1-24; Column 29, lines 48-49, STEP 1)

Therefore, a precedence is in place when one or more matches occur of the

entity associated with the document in regards to the transaction information

(Column 5, lines 44-52; Column 6, lines 55-63)

As per dependent Claim 6, Poole et al discloses a system:

- Wherein the assembly facility is configured to generated a resolved, markup

  language file. (Column 2, lines 40-49: Discloses using the invention to create

  a World Wide Web page, written in SGML (Column 3, lines 47-54))

As per dependent Claim 7, Poole et al discloses the use of stylesheets, which

are document formatting rules, wherein the rules are applied to resolved SGML

documents (Column 11, lines 25-35) and for transforming (Column 12, lines 25-26) a

SGML document into another SGML document (Column 11, lines 47-50)

However, Poole et al fails to specify the markup language file is an XML file.

However, it was well-known to one of ordinary skill in the art at the time of Applicant's

invention that XML is a subset of SGML, wherein all features of the SGML language

incorporate into XML document, thus allowing an XML document to be transform into

another document using a stylesheet. Thus, it would been obvious to one of ordinary

skill in the art at the time of Applicant's invention to have combined Poole et al's method

and Bantz et al's method with using XML file in place of SGML since it benefit of being

designed pragmatically, to be compatible with existing standards while solving the

relatively new problem of sending richly structured documents over the web.

As per dependent Claims 8 and 9, Poole et al discloses a system wherein the

assembly facility is configured to operate with an interface to receive information from

the origination wherein the interface is an application programming interface. (Column

9, lines 1-18: Discloses multiple layers used for receiving and sending data operated by

APIs)

As per dependent Claims 13-15, Claim 13 recites similar limitations as in Claim 1

and is similar rejected under rationale. Furthermore, Poole et al discloses a knowledge

base storing a plurality of information such as content and rules. However, in

conjunction with Bantz et al's object-relational database and the rationale incorporated,

it was well known to one of ordinary skill in the art at the time of Applicant's invention

that since the database is relational, meaning data is stored in tables, all the content

and rules stored in the knowledge base would be stored in tables. In addition,

knowledge base stores collection of documents that may been created by Poole, and

so, those documents are validate by DTDs, stored in the knowledge base or correspond

to the rules of the DTD.

It would been obvious to one of ordinary skill in the art at the time of Applicant's

invention to have combined Poole et al's and Bantz et al's methods with object-

relational databases using tables since it would have provided the benefit of any

changes, updates or amendments to data information in one table of a relation

database affects that same information in any other table utilizing it.

As per dependent Claims 16-18, Poole et al discloses a knowledge base that include text components that include SGML text components. However, in conjunction with Bantz et al's object-relational database and the rationale incorporated, Poole et al's knowledge base would act as a object-relational database, wherein it was well-known in the art at the time of Applicant's invention that a object-relational database would contain tables that link to the all of the objects within the database.

It would been obvious to one of ordinary skill in the art at the time of Applicant's invention to have combined Poole et al's and Bantz et al's methods with object-relational databases using tables since it would have provided the benefit of any changes, updates or amendments to data information in one table of a relation database affects that same information in any other table utilizing it.

In addition, Poole et al fails to specifically disclose the text fragments are in XML. However, it was well-known to one of ordinary skill in the art at the time of Applicant's invention that XML is a subset of SGML, wherein all features of the SGML language incorporate into XML document, thus allowing an XML document to be transform into another document using a stylesheet. Thus, it would been obvious to one of ordinary skill in the art at the time of Applicant's invention to have combined Poole et al's method and Bantz et al's method with using XML file in place of SGML since it benefit of being designed pragmatically, to be compatible with existing standards while solving the relatively new problem of sending richly structured documents over the web.

11.   Claims 10-12 remain rejected under 35 U.S.C. 103(a) as being unpatentable

over Poole et al (US Patent #6,006,242, patented 12/21/1999) in further view of Bantz

et al (US PGPub 2003/0163809, published 8/28/2003) in further view of Moore et al (US

Patent 5,630,127, published 5/13/1997)

As per dependent Claims 10-12, Poole et al discloses storing data into the

Knowledge Base, but Poole et al and Bantz et al fails to specify disclose the knowledge

base is configured to be loaded by press process and includes a plurality of stored

procedures. However, Moore et al discloses storing rules as objects in a relational

database. (Abstract, line 2-5; Column 4, lines 52-61; Claim 11)

It would been obvious to one of ordinary skill in the art at the time of Applicant's

invention to have combined Poole et al's and Bantz et al's methods with Moore et al's

method since Moore et al's method would have provided the benefit to the user to easily

modify existing rules and create new rules.

Response to Arguments

12.   Applicant's arguments filed 23 October 2006 have been fully considered but they

are not persuasive.

In regard to pages 12-17 in reference to claims 1-18, Applicant argues that Poole

does not disclose applying precedence and rules to document content as in Poole does

not teach or suggest "an assembly facility configured to apply precedence and rules to

document content" as recited in claim 1. However, the Examiner disagrees.

Poole discloses an assembly facility wherein document components (parts of other documents) are assembled to create one final document overall. The document developer specifies the content that is to be included in a document in order to meet the objectives of the parties in a transaction and to meet the rules and regulations. Each of the constituent portions of the document (document content) is associated with an entity reference. Therefore, each entity reference represents a part of the overall document that incorporated into it, and therefore is document content. (Col 5, lines 3-24) Thus, precedence is applied Column 5, lines 44-52; Column 6, lines 55- Col 7, line 27: A precedence is in place when one or more matches occur) to the document content of the overall final document. Furthermore, rules are applied to the document content. When the document developer is specifying content to be put into the final document, Poole clearly states it must meet the objectives of the parties to a transaction and to meet certain business, legal, and/or governmental rules and regulations. (Col 5, lines 3- 24) Each document component is linked to a business government regulation source. (Col 7, lines 28-60) Thus, rules are applied to document content within the assembly facility.

Conclusion

13.   THIS ACTION IS MADE FINAL. Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within
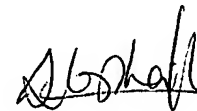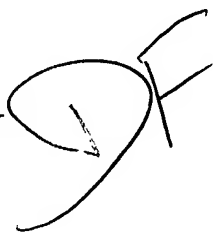
TWO MONTHS of the mailing date of this final action and the advisory action is not

mailed until after the end of the THREE-MONTH shortened statutory period, then the

shortened statutory period will expire on the date the advisory action is mailed, and any

extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of

the advisory action. In no event, however, will the statutory period for reply expire later

than SIX MONTHS from the mailing date of this final action.

Any inquiry concerning this communication or earlier communications from the

examiner should be directed to David Faber whose telephone number is 571-272-2751.

The examiner can normally be reached on M-F from 8am to 430pm.

If attempts to reach the examiner by telephone are unsuccessful, the examiner's

supervisor, Stephen Hong, can be reached on 571-272-4124. The fax phone number

for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the

Patent Application Information Retrieval (PAIR) system. Status information for

published applications may be obtained from either Private PAIR or Public PAIR.

Status information for unpublished applications is available through Private PAIR only.

For more information about the PAIR system, see http://pair-direct.uspto.gov. Should

you have questions on access to the Private PAIR system, contact the Electronic

Business Center (EBC) at 866-217-9197 (toll-free).

David Faber
Patent Examiner
AU 2178

STEPHEN HONG
SUPERVISORY PATENT EXAMINER